	Agency Name	Department of Social Services (DSS)
	Chapter No./Name	DSS Policy Manual
	Part No./Name	1/Administrative/Fiscal
	Section No./Name	1-23/DSS Management Control
	Document No./Name	1-23/DSS Management Control
	Effective Date	07/20/06

I. STATEMENT OF PURPOSE, SCOPE, AND APPLICABILITY OF POLICY

It is the policy of the Department of Social Services (DSS) to establish and administer DSS' risk management, control and governance processes. Since DSS does not have a Board of Directors or an Audit Committee of a Board of Directors, the Secretary is responsible for the functions normally assigned to a Board of Directors and an Audit Committee.

II. RESPONSIBILITIES

A. DSS Secretary


It is the responsibility of the Secretary of DSS to:

- Monitor, oversee, and evaluate the duties and responsibilities of the executive management team and the Bureau of Audit of Services as those duties relate to the processes for controlling the operations of the Department.
- Determine that all major issues reported by the DSS Bureau of Audit Services, the Legislative Auditor, and other auditing organizations are satisfactorily resolved.

B. Deputy Secretary, Undersecretary, OCS Assistant Secretary, OFS Assistant Secretary, and LRS Director

The Deputy Secretary, Undersecretary, OCS Assistant Secretary, OFS Assistant Secretary, and LRS Director are responsible for establishing a network of processes with the objective of controlling departmental operations in a manner which provides assurance that:

- Data and information published either internally or externally are accurate, reliable, and timely.
- Actions of management and employees are in compliance with DSS policies, standards, plans and procedures, and all relevant laws and regulations.
- DSS' resources (including its people, systems, data/information bases, and customer goodwill) are adequately protected.
- Resources are acquired economically and employed efficiently and effectively; quality business processes and continuous improvement are emphasized.
- DSS' plans, programs, goals, and objectives are achieved.

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C. All DSS Managers

Controlling is a function of management and is an integral part of the overall process of managing operations. As such, it is the responsibility of managers at all levels of the organization to:

- Identify and evaluate the exposures to loss that relate to their particular sphere of operations.
- Specify and establish policies, plans, and operating standards, procedures, systems, and other disciplines to be used to minimize, mitigate, and/or limit the risks associated with the exposures identified.
- Establish practical controlling processes that require and encourage management and employees to carry out their duties and responsibilities in a manner that achieves the five control objectives outlined in Section B of this Policy.
- Maintain the effectiveness of the controlling processes they have established and foster continuous improvement to these processes.

D. DSS Bureau of Audit Services

It is the responsibility of the Bureau of Audit Services to:

- Ascertain that the ongoing processes for controlling operations throughout DSS are adequately designed and are functioning in an effective manner.
- Report to the DSS Secretary the adequacy and effectiveness of DSS' systems of internal control, together with ideas, counsel, and recommendations to improve the systems.